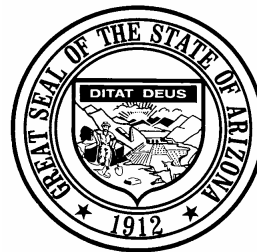# Project Investment Justification

A Statewide Standard
Document for Information Technology Projects
As Amended for Use by the Arizona Judicial Branch

Project Title: ***Apache County Clerk of the Court Electronic Document Management System***

Version 4.0

Prepared by:

Name	*Sue Hall / Lillith Avalon*
Court	*Apache County Clerk of the Court*
Date	*April 2004*

TABLE OF CONTENTS

Introduction

An Information Technology (IT) project is defined as a specific series of activities involving the implementation of new or enhanced IT systems. A Project Investment Justification (PIJ) document is completed for all projects of $250,000 or more in development costs. **It is also to be used as part of the documentation when requesting an exception to standards as defined by the Arizona Code of Judicial Administration 1-501 and 1-505.** Project information includes operating costs to enable life cycle analysis. Life cycle analysis is an evaluation of costs and benefits over a prescribed period not greater than 5 years.

A. Document Information

Information is included in each section to assist in preparing the PIJ document. The PIJ format presented here (adapted from the State standard PIJ document maintained by the Government Information Technology Agency - GITA) is the Arizona Judicial Branch standard for project and/or standard exceptions justification and must include all required sections in the order specified in the Table of Contents. Information about the GITA PIJ including the PIJ Policy, Standard and Procedure can be found at the GITA web site at www.gita.state.az.us. Although not required under statute, the Arizona Judicial Branch is using this modified version of the standard state document to capture information for court projects.

Section I. *Business and Technology Assessment* provides a project overview; describes the existing situation and problem; defines the proposed changes and objectives; outlines the proposed technology and enterprise architecture compliance; illustrates viable alternatives; lists major deliverables, personnel roles and responsibilities; and defines the project schedule.

Section II. *Public Value and Benefits* describes the improved management or performance that brings new value to the citizens. This section identifies quantitative and qualitative benefits that may be gained by completing this project.

Section III. *Financial Assessment* identifies the development and operating costs, summary of costs, special terms and conditions, funding timeline and funding source.

Section IV. *Risk Assessment* measures the impact of the project on the court in six key categories. Each category is described and contains questions pertaining to risks. A "Yes" answer receives a score of 1 point. A low score indicates high-risk.

Section V. *Project Approvals* provides a management review checklist and an area for the court management to approve the project by signature, establishing accountability. The Presiding Judge will review and sign all PIJ documents.

The *Appendices section* provides attachments to the PIJ document. An itemized list of costs is required to substantiate the Financial Assessment. A connectivity diagram and a Gantt chart indicating major project milestones are also required.

B. Procedure

The review cycle is not more than thirty (30) working days from the date received. During the review staff may be in contact with you to request additional information. Please include your email address and FAX number to facilitate communications. Review by the Commission on Technology will occur at its regularly scheduled meetings.

The Commission on Technology will issue a response letter to the submitter in the submitting court indicating the results of the review and a recommendation. ***Approval of a project does not approve funding or procurement of technology projects.*** It is the responsibility of the court to secure additional approvals that may be required by local or other funding bodies.

Section I. Business and Technology Assessment

Court Name and Address	Contact Name, Phone, FAX, email
Apache County Clerk of the Court PO Box 365 Saint Johns, AZ 85936 Apache County Clerk of the Court 70 West 3rd South Saint Johns AZ 85936	Sue Hall, Clerk SHall@Courts.sp.state.az.us Lillith Avalon, IT lavalon@co.apache.az.us 928-337-7550 phone 928-337-2771 fax

Project Investment Name	Date
Apache County Clerk of the Court Electronic Document Management System	April 2004

This section describes the business issues, objectives and operational goals of the project. It describes the proposed changes, current problems, and the technology to be implemented, major deliverables, personnel involved, other alternatives studied and a summary project schedule.

A. Management Summary

Complete this part last. It includes high-level summary information about the major project objectives and the specific means to accomplish these objectives. Describe the value to be realized, the resources needed, and the methods to be used for measurement. Detail information on these three key areas is described later in this section.

Is this project mandated by law, court case or rule? YES
Cite the requirement, ARS Reference or Court Case: **Arizona Rules of Court, Rules of Criminal Procedure, Rule 28** **Arizona Rules of Court, Superior Court Administration, Rule 94** These rules specify that the Clerk of the Court shall maintain case records according to specifications using the words: "permanent preservation", "exact replica", "viewable by the public", and that we must "maintain a device for viewing". The Apache County Clerk of the Court is not currently able to fully meet these standards as the only case documentation we have is on paper which is subject to loss by disaster, and is difficult to retrieve from archival storage for the public to access and view. We are concerned about case files going missing such that they can not be found again or documents being removed from the files. *(Do not include information here unless the law, court case or rule specifically identifies technology.)*

The following table contains summary information taken from the other sections of the PIJ document.

Description	Section	Significance
Value Rating	II. A. Value to the Public	Score 24 / 30
Economic Benefits	II. B. Benefits to the ~~State~~ County	Score 26 / 30
Total Development Cost	III. A. Development Costs	$ 38,050
Total Project Cost	III. C. Summary of Costs by Year	$ 64,400
Score for Risks	IV. A. Risk Summary (Maximum 37)	Score 33 / 37

B. Proposed Changes and Objectives, "To Be"

Explain the new technology processes to be implemented with respect to customer service, productivity, quality, performance, and technology. Describe how the new system will address current problems and how it will impact the organization's policies, procedures, standards, staffing, costs, and funding. Also, describe the functional elements of the new system and how court personnel will use them.

Current Situation: The Apache County Clerk of the Court's office does not currently have any electronic document management system. All case file materials are maintained on paper in hard copy and filed in manilla folders.

On-site storage in our two small vaults is limited. Closed files are moved to off-site archival storage into two metal "mini-storage" containers (like container trucks). The storage containers are difficult to open, are not climate controlled, are difficult to maneuver inside of to file and locate files, and have reached their capacity for storage. The yard where the containers are secured is locked at 4:30 pm, and is closed on Fridays, while the Clerk's office is open until 5 pm five days a week. During the warm seasons it is unbearable for Clerk's work in the storage containers past mid-morning due to the heat. During the cold season it is too cold to spend more than a short time in the storage containers except in the middle of the afternoon. There are no lights inside the container and there is no telephone available at the storage site.

Requests for closed case files requires a Clerk to make a round trip drive out to the archival storage location, and results in a minimum wait of one hour, maximum of 3 days over the weekend, for the person requesting the file.

On open case files, multiple different Court users often need to access the same file which results in a hunt and borrowing the file back and forth between multiple functions.

Old marriage licenses are on oversized pages and are filed in bound books. When a copy of an old marriage license is requested, these bound books must be disassembled and the old pages handled. Photocopying them to the right size is tricky and often requires several tries.

Case documents are only available during the hours that the Clerk's office is open. The Sheriff's office in particular would benefit from having case information available 24 hours a day including weekends. Case documents can currently only be accessed and viewed at the Clerk's office. All Court Officers and related departments could benefit from having the case file information available online from their desktops at all days and hours and from any location where they have a computer cleared for access to the information.

New System Benefits: The EDMS we plan to implement will address all of the issues discussed in the current situation narrative above.

Selecting the Pima County Clerk's EDMS solution for implementation in Apache County brings the significant benefit that the system is a known quantity, observable in action and already in use and proven in a big volume Clerk's office in Arizona. Apache County can be certain that this solution will meet our needs.

Court case documents will be available to officers of the court and court partners immediately on demand. Additional we will increase the security of case file contents since originals will no longer be handled by members of the public or loaned out to other departments such as Probation.

Use of the existing unsatisfactory storage space will be substantially relieved and perhaps become entirely unnecessary as we become efficient in dealing with the paper version of closed files.

Cases going for Appeal can be printed from the electronic version of the documents which we anticipate will be easier and more reliable than disassembling and reassembling the paper file and using the photocopier which misses and sometimes misfeeds thus damaging original pages.

Time spent scanning documents will be more than offset by the savings in time retrieving closed case files from archival storage and the time spent pulling and re-filing open files for various court officers. Old marriage license books can be disassembled and their odd sizes handled all at once in the scanning process. Customer service will be substantially improved by eliminating the wait for case files to be retrieved, and Clerk time will be saved in photocopying portions of files for customers who will be able to simply print the pages that they want.

Functional Elements: Once the EDMS system is implemented, all new incoming case documents will be immediately (within 24 hrs) indexed in the database and scanned so that they are available online. Case documents will be referenced through an internet browser interface which will allow search by case number and other key pieces of case information. Documents will be linked to retrieval entries which give the date and indicate the type of document. Clicking on the retrieval link will bring up a TIFF image of the document on screen which can be read or printed.

Back scanning of closed files will be accomplished by printing and scanning a copy of the existing case management system docket to give a reference to the materials in the file. The files will be purged according to statute and archival standards, then scanned as one large document and linked to a single retrieval entry for the case. While not as ideal as creating individual scanned documents on a docket, this method will allow us to get the back scanning done and make the information available more quickly than breaking out the case file into individual case documents for scanning. We estimate over 6 million pages of case file information are in storage (prior to file purging).

A tape backup will be used to backup the database and web servers and their accompanying data including images for the purposes of disaster recovery. A DVD (WORM) media burner will be used to back up blocks of images for the purposes of permanent record keeping, and to create DVD which can be sent out for conversion of images to microfiche. Case document images will be kept in online storage for immediate access.

Personnel: Existing salaried staff members of the Clerk of the Court and Apache County will carry out the vast majority of the work associated with implementing and operating the new EDMS system. Pima County Clerk of the Court employees developed the system we will use and will be involved in the implementation and training process. Work flow processes for Clerks will be appropriately adjusted and scanning incoming documents to the EDMS system will become part of their routine daily work. The Clerk of the Court IT resource will administrate the system as needed. It may be desirable to hire one additional resource to work on the purging and back scanning of old case files.

For more information on the funding and cost for this project, see Section III of this document.

If a new system is required to meet certain standards, provide detailed information or attach copies of the documents. Describe the impact of the new system on help desk functions, operations, disk storage, computer processing, network, testing environment, other projects, and other customer services.

This EDMS system will not require installation on AOC hardware nor support from the AOC help desk.

It will be installed on two county servers, with hardware, security, and back up processes supported by the Clerk of the Court and Apache County IT resources. Two new servers have been acquired and installed on the Apache County Network to implement this project. An additional image file storage hard drive will likely be added and is budgeted in the initial costs.

Installation involves one database server running SQL and one web server which supports the user interface to enter linking information and to retrieve scanned images. There will be two scanning stations installed in the Clerk's office with larger monitors and high volume scanners attached to them for processing documents.

Court officers and partners will be given secured access to the online system so that they can retrieve document images from their desktops 24 hours a day.

System Standards: The EDMS solution to be implemented meets standards and procedures outlined in:
http://www.supreme.state.az.us/orders/admcode/curcode.htm (Chapter 5 links)
http://www.supreme.state.az.us/cot/Standards/R-97-0037RCH_AO-99-0010/Imaging_Standards.pdf
http://supreme22/edms/TasksChecklist.pdf
http://supreme22/edms/TasksChecklist.pdf

Also see Section II A of this document.

C. Existing Situation and Problem, "As Is"

Explain the current business and technology processes and issues being addressed, and their weaknesses. Provide specific information about current staffing and procedures that negatively affect the processes. Identify specific hardware, software, and network inadequacies. If requesting an exception to standards, also specify the inadequacies of the current standard.

There are no technology processes currently in place for electronic document storage at the Apache County Clerk of the Court's office.

Please see Section II B above for a review of the issues and weaknesses in our current environment.

There are no technical inadequacies that need to be remedied, but we will have additional county network wiring run in the courthouse to support the scanning stations; this will be done at the cost of the wires which is included in our project budget.

D. Proposed Technology

Describe hardware, software, and communications. Describe the strengths and weaknesses of the proposed solution. Describe software modules to be developed and any maintenance required. Describe the processing impact on the current environment and any enhancement or improvements that may be necessary in the future. Include any terms or conditions required by the vendor for the new technology. Describe any converting or migrating of information and the over all method, timing and costs.

The Pima County Clerk's CMS/EDMS system will be installed for the Apache County Clerk's Office. No additional module development is needed as far as we know. Minor modifications needed are being addressed by the Pima Clerk's IT department. Code tables are being reviewed and data revised for Apache County use.

Information Migration:
Case and party header information will be extracted from the existing case management system and imported to the EDMS SQL database. This will provide an immediate data skeleton for scanning of new incoming document images and to support back scanning efforts.

Solution Strengths:

- Solution is successfully in use at Pima County Clerk of the Court's office – they conduct business over a much higher volume of documents than Apache County and we have been able to observe the system in action and we are confident this system will work in Apache County.
- Pima County Clerk is committed to ongoing development and support of this system for the foreseeable future. Improvements will be rolled out to Apache County after testing in Pima.
- Low cost for application (zero dollars!) - no vendor fees or annual licensing costs
- Browser interface – simple interface, easy to access and intuitive to train on
- Case 'docket' format for document image retrieval– familiar logical organization of document index which allows easy retrieval of images
- SQL Database – can be easily linked to using ODBC, custom reports and queries can be written and run using SQL, MS Access, or Crystal Reports.
- TIFF Image Format – standard image file format can be retrieved and viewed in a number of different applications. Could be easily migrated to a different EDMS system in the future if needed.
- Provides the capability to grant view only access to court partners without additional software licensing or installation on their desktops
- This solution could use KOFAX cards that support TWAIN scanning, however KOFAX hardware is more expensive than SCSI 2 and both provide the same 90 ppm input.

Solution Weaknesses:

This solution does not currently include a TIFF viewer which will allow full text searching and on screen document mark-up of the images, but these functions are not currently critical needs for the Clerk's office. A different TIFF viewer could be acquired at a later date and at additional cost.

This solution does not currently incorporate work flow management to route documents automatically. This would be frontier level functionality for the Apache County Clerk of the Court and is not necessary to meet the primary goals and needs for an EDMS system.

If requesting an exception to standards, also specify how the proposed solution addresses deficiencies in the current standard.

The current EDMS system standard which specifies the use of Kofax and Hyland Onbase is related to interfacing EDMS with AZTEC. AZTEC is a sunset system. Kofax and Hyland Onbase technologies are so expensive that their usage puts an EDMS project outside the financial scope for Apache County. The solution we propose to implement meets all the other standards as far as we know.

Using the table below, indicate "Yes" if the proposed technology aligns with Arizona Judicial Branch Enterprise Architecture Standards. If the technology is not in conformance please explain. Additional details regarding Enterprise Architecture Standards can be found at the COT web site at http://www.supreme.state.az.us/cot/Documents/Technology/Enterprise%20Architecture%20Standards%202004 0318.pdf.   Projects must conform to EAS or provide specific justifications for deviance.

This solution complies with EAS standards with the exception that it does not use KOFAX or Hyland Onbase. See the paragraph above concerning exceptions to standards.

To review briefly…
- Database is in MS SQL which meets EA standards.
- User interface is browser / web based .ASP pages which meets EA standards.
- Reporting is web based which meets EA standards.

More information is provided in the 'Explanation' column of the table below.

Enterprise Architecture (EA) Technology Domain Definitions	Project EAS Conformance (Yes/ No)	Compliance or Non-conformance Explanation
Network: Defines policies and standards for the State's communications infrastructure, which includes the various topologies and protocols necessary to facilitate the interconnection of server platforms, mainframes, intra-building and office networks (LANs), and inter-building and mall/campus networks (WANs).	Yes	The existing Apache County Network will be utilized by the Clerk's office to enter and retrieve information from the EDMS system.
Security: Identifies security technologies, policies, and standards necessary to protect the information assets of the State and to ensure isolation and confidentiality of information, integrity of data, and the availability of IT resources to the ~~State's~~ **County's** workforce and citizens, as appropriate.	Yes	All images managed by Pima County's EDMS system are read only. Security access to images is strictly enforced by Windows NT. Access to the image retrieval will be controlled by granting fixed IP addresses access to the web application on the EDMS web server. Computers in the Clerk's office, a public access computer station, and court partners and officers will be granted access. In order to access the data entry portion of the application, a login and password for each user must be created by an administrator and entered to the application database. Cases can be marked as confidential or secret which will deny access to the docket and images to anyone whose login is not authorized for those security levels.
Platform: Defines policies and standards for IT devices and associated operating systems, which include mainframes, mid-size computers, servers, storage devices, client platforms (PCs, workstations, PDAs, telephony, etc.).	Yes	Hardware components include the use of PC based servers, scanners that adhere to TWAIN compliance, hard drive based image storage (for quick retrieval), and DVD as well as tape backup for image archiving. The application can be accessed and operated from desktop computers which meet the current AOC standards.
Software/Application: Defines policies and standards for software applications, application development tools, productivity software tools, etc.	Yes	All software components of the Pima County EDMS were constructed using various Microsoft development tools. The source for each software component is owned and maintained by Pima Clerk of the Court. Licenses for software components that are needed for implementation will be purchased by Apache County. Pima's EDMS system uses Microsoft SQL Server 7 as a data backend.

Enterprise Architecture (EA) Technology Domain Definitions	Project EAS Conformance (Yes/ No)	Compliance or Non-conformance Explanation
Data/Information: Defines policies and standards for the organization of information related to citizens, locations, and objects the State must collect, store, maintain, and access.	Yes	Apache County will follow the written procedures developed by the Pima County Clerk for enforcing document authenticity. Imaged documents created in Pima's EDMS system are saved in TIFF format (Group 4) with no propriety compression. All the images scanned in Apache County will meet the established 200 dpi standard. Pima's EDMS system employs a robust three tiered indexing scheme. The first tier groups documents into basic document types (e.g. Order, Notice, Minute Entry, etc.). The second tier expands upon the first tier by adding more document specific qualifiers (e.g. Order to do XYZ). The third tier provides a mechanism for capturing the document's title (caption) in free form. Documents indexed in Pima's EDMS system can be identified for a myriad of purposes – permanent archive included. As part of the imaging initiative, imaged documents will be archived to DVD (optical) media and eventually microfilm.

If special security is necessary, describe the measures that will be taken to protect the integrity of the data and the physical safety of the equipment. If disaster recovery is necessary, describe how systems will be restored.

Automated tape backups will be made daily and weekly schedule including rotating tapes off site. Tapes could be restored in case of a disaster.

EDMS servers are installed in the Apache County server closet and are kept under lock and key accessible only to qualified IT personnel.

Also see "Data Information" row in the EAS compliance table above.

If training is identified, describe who will receive the training, the subjects and what system and user documentation will be provided. If no training costs are anticipated, explain why.

Employees of the Apache County Clerk of the Court's office will be trained on the data entry, retrieval, and scanning aspects of the EDMS system. The Clerk's IT resource and Deputy Chief Clerk will be trained on the administrative aspects of the application. The County IT resources are already able to support the servers and network. Pima County personnel will assist with the initial training of Apache County personnel. Some documentation developed by Pima County will be utilized and additional training materials developed as needed. Our plan is to create a 2nd instance of the database and application, at least temporarily, which will allow us to train in a virtual 'live' environment. (The training portion of the project has not been fully developed but is scheduled on the project plan to be done early this summer.)

E. Major Deliverables and Outcomes

Describe what your court, internal and external customers, and the citizens of Arizona will receive as a result of the project. Describe critical factors and criteria you will use to determine project success. Deliverables include the system hardware and software, application features and functions, system enhancements that improve productivity, new or improved services provided to stakeholders.

Benefits:
- Implementation of an EDMS system proven to work well in a large volume Arizona Clerk's office
- Electronic images will be backed up / copied to provide a disaster recovery option.
- Court personnel, partners, and members of the public can obtain efficient access to case documents without requesting or handling case files or retrieving physical file from archival storage.
- Electronic documents can be easily transferred to microfiche thus meeting archiving requirements.
- Paper case files can be purged and/or destroyed once they are imaged, thus relieving storage capacity issues currently being faced by the Clerk's office.
- Overall savings of Clerk time spent filing and retrieving, particularly paper case files in archival storage

Section I B also reviews the problems that are experienced by our court, and what benefits internal and external customers and citizens of Apache County will receive as a result of this project.

Success Measurements:
- Ability to search for case numbers in EDMS database and view docket list with links to scanned documents.
- Ability to view electronic version of case documents online in Clerk's and court partner's offices.
- By end of FY 2006 have case years 1994 forward scanned into EDMS system.
- Begin scanning of new incoming case documents July 2004.

Information on the project schedule and milestones are reviewed in Section I H and Appendix C of this document and therefore are not repeated here.

F. Roles and Responsibilities

Provide the names, job titles and responsibilities of all the personnel involved in the project. These may include the Project Sponsor, Project Manager (Technical Project Manager, Business Project Manager), programmer, analyst, and consultants. If new FTEs or consultants will be hired, indicate "new". You may also include a Change Management manager, and user personnel involved in acceptance testing.

Project Sponsor: Sue Hall, Clerk of the Court
Business Project Manager: Jana Mangum, Deputy Chief Clerk of the Court
Technical Project Manager: Lillith Avalon
Consultants: Pima County Clerk of the Court IT Department
Users: Apache County Clerk of the Court Staff

G. Other Alternatives Considered

Describe other solutions that were evaluated and explain why they were rejected. Include their strengths and weaknesses. "Do nothing" is an alternative. Evaluating all other viable alternatives is evidence of objectivity and proof the best alternative was selected. If no other alternative besides "Do Nothing" is cited, an explanation may be required.

Do Nothing: This alternative is unacceptable because we are unable to fully comply with standards and requirements for information access and retrieval, disaster recovery, and archiving. Doing nothing would also incur substantial additional expenses to upgrade our archival storage facilities to accommodate the Clerk's storage needs and to improve the safety and accessibility of the storage facilities.

Vendor Provided Solution: WAVE came to the Apache County Clerk of the Court's office and produced a formal bid for our consideration to use their Kofax / Hyland OnBase based application solution. This vendor solution was priced at $54,000 for the minimum system up to $126,000 with all the options. In addition there was an annual fee in excess of $9000 for the minimum system. This was too expensive for Apache County and would commit us to a substantial ongoing expense to continue use of the system in an environment of uncertain future budget and resources.

H. Summary Project Management Schedule

Describe the high-level activities and events, such as project milestones and major project phases. Include any elapsed time for various stages of the project. Entries should include a description of the milestone, estimated time for completion in weeks or months, and total time required for project development. If the project is approved, COT monitoring staff will review the project plan and may ask for additional information or updates.

Project Phases:
- REQUIREMENTS
  - Evaluate the Pima County EDMS system including on-site visits to Pima County to see the system in action
  - Review of existing Pima County documentation
  - Correspond with various Pima Clerk staff members regarding questions that arise
  - Develop and review of a formal Gap Analysis document which covers the Is/Is Not aspect of the EDMS system.
  - Review the state technology standards documents
- DESIGN
  - Document the necessary software licenses and hardware recommended by Pima County to run the application & price them out the pieces for a budget
  - Review the system requirements with Apache County technical resources
  - Review and revise the Pima County docket codes used to index documents.
  - Create a high level project plan.
  - Design a conversion process to electronically enter initial case and party data from the case management system to the EDMS system.
- IMPLEMENTATION
  - Test & conduct the data conversion routine to enter case & party header data.
  - Install the scanning stations and servers.
  - Install the database and application images on the servers.
  - Train Clerk of the Court users
- TESTING
  - Test input to the application database
  - Test the scanning process
  - Test the document retrieval and viewing process

Major Project Milestones:

- Evaluate Pima application for use in Apache County – DONE
- Acquire & install two servers (database & web) – DONE
- Acquire & install two scanning stations – April 2004
- Install Pima County EDMS application on servers
- Electronically enter case & party data from existing CMS system
- Run QA Reports to insure data integrity
- Train Clerk of the Court personnel on data entry through application interface
- Train Clerk of the Court personnel on scanning procedures
- Establish Clerk's office work flow process to include scanning documents
- Begin processing new incoming case documents through EDMS system
- Give court partners view access to electronic documents – IP address security to be granted and URL location communicated
- Back scan historical case files in logical blocks
- Provide document view access to court departments & partners

See Appendix C for more detailed information on the project plan.

Section II. Public Value and Benefits

A. Value to the Public

INSTRUCTIONS

Evaluate the impact the project will have on ~~State~~ County customers, clients, and citizens.

Score: **0=None, 1=Minor, 2=Moderate, 3=Considerable, 4=Substantial, 5=Extensive.**

Description	Score
Client Satisfaction: Rate how stakeholders may respond to anticipated improvements. This could apply to health and welfare services, quality of life or life safety functions. **(We considered Court Partners in this row as well as the public.)**	*5*
Customer Service: Rate anticipated improvements to internal and external customer service delivery. Give consideration to faster response, greater access to information, elimination or reduction in client complaints.	*5*
Life Safety Functions: Applies to public protection, health, environment, and safety. Consider how this project will reduce risk in these functions. **(Sheriff's office having access to court records all days/hours)**	*5*
Public Service Functions: Applies to licensing, maintenance, payments, and tax. Consider how this project will enhance services in these functions.	*0*
Legal Requirements: Consideration should be given to projects mandated by federal or state law. Other consideration could be given if there are interfaces with other federal, state, or local entities. **("Clerk's office shall maintain the record")**	*4*
Product Quality: Applies to the information and services delivered to internal and external customers and the public.	*5*
Other: List any other applicable value or benefits.	0
Total	24

Detail Description of Project Benefits
(Describe in detail any category in the Value to the Public with a score greater than 3)
Project benefits to various concerned parties are covered in Section I B which explains the ratings provided here. In addition…
Life Safety Functions: we are particularly considering the advantage of having court documents available to the Sheriff's office in relation to homeland security. It will enable them to quickly and easily access complete court case information and conduct research as needed.
Customer Service: EDMS is a predecessor project to allowing the Apache County Clerk of the Court to accept electronic filings of court documents. Electronic filing which will provide a substantial convenience to the public.

B. Benefits to the ~~State~~ County

INSTRUCTIONS

Describe the economic impact the project may have on your court, the County, State or the public. Improved performance can produce either monetary savings or increased revenues. Cost avoidance activities may be noted in both value to the public and benefits to the ~~state~~ county. Labor savings may be included if they represent a reduction in force, or avoidance of new hires.

*The benefits listed here are closely tied to **Section I. Business and Technology Assessment**, **B. Proposed Changes and Objectives, "To Be"** and **E. Major Deliverables and Outcomes**. Specific benefit amounts gained from the proposed project are described in this section.*

Score: **0=None, 1=Minor, 2=Moderate, 3=Considerable, 4=Substantial, 5=Extensive.**

Description	*Score*
Court Performance: The extent to which duties and processes will improve or positively affect business functions. Consider reduced redundancy and improved consistency for the court.	*4*
Productivity Increase: The improvements in quantity or timeliness of services or deliverables. Consider improved turnaround time or expanded capacity of key processes.	*4*
Operational Efficiency: Rating may be based on improved use of resources, greater flexibility in court responses to stakeholder requests, reduction or elimination of paperwork, legacy systems, or manual tasks.	*5*
Accomplishment Probability: The extent to which this project is expected to have a high level of success in completing all requirements for the division or court.	*5*
Functional Integration: The impact the project will have in eliminating redundancy or improve consistency. Consider the impact of information sharing between departments or divisions, or between agencies in the State or County.	*3*
Technology Sensitive: The implementation of the right types of technology to meet clear and defined goals and to support key functions. Consider technologies and systems already proven within the court, division, or other similar organizations.	*5*
Other: List any other applicable benefit.	*0*
Total	26

Additional Information on Savings
(Describe in detail the calculation for any item with a total greater than $50,000)
This project costs less than $50,000 to implement, therefore savings of less than $50,000 would be perfectly acceptable for the substantial increase in service that the Clerk's office can offer and for having the ability to meet disaster recovery and archival standards. Most of the benefits realized by this project can not effectively have any kind of accurate dollar values placed on them.

Section III. Financial Assessment

Development and Operating Cost INSTRUCTIONS

Development Costs are the sum of all start up expenditures. Operating Costs are the sum of all on going expenditures after initial startup. A detail listing of the kinds of costs to be included can be found in the *Statewide Standard P-340 S-340, Cost Factors Table*. This document is available on the GITA web site at gita.state.az.us.

Lease/Purchase is a development cost since leasing is a financing mechanism to enable procurement. Upgrades or software license increases may be included in these costs.

For exceptions to standards, an analysis of implementing both the standard and the proposed exception solution should be included.

ALL COSTS MUST BE SUBSTANTIATED IN APPENDIX A. ITEMIZED LIST WITH COSTS.

1. *IT FTE Positions:* The number of IT positions assigned full time to the project or investment. If the project requires less than full time, enter a decimal fraction of estimate hours based on a 2,000 hour year. The number entered is limited to court personnel.

2. *User FTE Positions:* The number of positions assigned to the project for management, testing or data entry/conversion. This may include temporary help hired to fill in for permanent FTEs assigned to the project.

3. *Professional and Outside Positions:* The number of consultants, contractors, and personnel used in this project other than ~~State~~ County employees. The total should agree with the total described in Section I. F Roles and Responsibilities based on a 2000 hour year.

4. *Total Positions:* The sum of IT FTE, User FTE and Professional and Outside Consultant Positions.

5. *IT FTE Cost:* The total personnel dollars expended for IT FTEs, including E.R.E. (Employee Related Expenses) at its most current rate.

6. *User FTE Cost:* The total personnel dollars expended for user FTEs, including E.R.E.

7. *IT Services (Professional and Outside Consultants Cost):* The dollars expended for all third-party consultants and contractors, such as project leaders, operations or technical support, communications, and LAN administrators. In Appendix A, include the billing rate, number of hours, and the tasks to be performed.

8. *Hardware:* All costs related to computer hardware and peripherals used on a project, including mainframes, midrange, micro- and mini-processors, laptops, hand-held devices, and peripheral devices such as disk drives and printers.

9. *Software:* All costs related to applications and systems related software for the project.

10. *Communications:* All costs related to analog and digital networks, communication processors, software, frame relays, phone switches, cabling, wiring, LAN/WAN, and other items associated with communications.

11. *Facilities:* All costs related to improvements or expansions of existing facilities required to support this project, as well as rentals, leases or purchase of new IT facilities.

12. *Licensing and Maintenance Fees:* All licensing and maintenance fees that might apply to hardware, software and any other products included in this project.

13. *Other:* Other IT costs not included above, such as diskettes, manuals, travel, training and living expenses.

    Training costs should be included if expenditures are specifically incurred for this project. If there is an in-house training department and the cost of the training is absorbed, no costs should be reported. Travel costs should be the amount of expenditures and not the value of automobiles, trucks, or other goods.

14. *Total:* The sum of lines 5 through 13.

A. Development Costs

Description	FY_04_	FY_05_	FY_06_	FY____	FY____	Total*
Fiscal Year						
The number of FTE and third-party positions						
1. IT FTE Positions	1	1	0			**(Do not use)**
2. User FTE Positions	1	1	0			
3. Professional and Outside Positions	.25	.5	0			
4. Total Positions *	2.25	2.5	0			
The development costs in thousands ($000)						
5. IT FTE COST (Include ERE)	Existing Salaried Staff					$0
6. User FTE COST (Include ERE)	Existing Salaried Staff					$0
7. IT Services (Professional and Outside Cost)	No Cost – Pima County Clerk's Office					$0
8. Hardware	$24,650					$24,650
9. Software	No Cost					$0
10. Communications	$3,300					$3,300
11. Facilities	Existing					$0
12. Licensing and Maintenance Fees	$7,100	One time licensing fees. Software upgrades under operational costs				$7,100
13. Other (Training)	$3,000					$3,000
14. Total**	$38,050					$38,050

*   Items 1 through 3 are included in *Section I. F. Roles and Responsibilities.*
** Items 7 through 13 are included in *Appendix A. Itemized List with Costs.*

B. Operating Costs

Fiscal Year						
Description	*FY_04_*	*FY_05_*	*FY_06_*	*FY_07_*	*FY_08_*	*Total***
The number of FTE and third-party positions						
1. IT FTE	0	0	.5	.5	.5	Clerk & County IT
2. User FTE	0	1	1	0	0	Back Scanning
3. Professional & Outside Positions	0	0	0	0	>.25	Assist With Migration To New Servers
4. Total Positions *	0	1	1.5	.5	.75	
The operating costs in thousands ($000)						
5. IT FTE COST (Include ERE)	Existing Salaried Employees					$0
6. User FTE COST (Include ERE)	$0	$15,000	$15,000	$0	$0	$30,000
7. IT Services (Professional and Outside Cost)	No Cost – Pima County Clerk's Office					$0
8. Hardware (5 year Replacement)	$0	$0	$0	$0	$20,400	$20,400
9. Software	$0	$0	$0	$0	$4,000	$4,000
10. Communications	$0	$5,000	$0	$0	$0	$5000
11. Facilities	$0	$0	$0	$0	$0	$0
12. Licensing and Maintenance Fees	$0	$0	$0	$0	$0	$0
13. Other (Scanner Maintenance & Supplies)	$600	$600	$1,600	$600	$1,600	$5000
14. Total**	$600	$20,600	$16,600	$600	$26,000	$64,400

*   Items 1 through 3 are described in *Section I .F. Roles and Responsibilities.*
** Items 7 through 13 are described in *Appendix A. Itemized List with Costs.*

NOTE: The cost of microfilming records to meet archival standards based on DVD images is not included as an operating cost of this project. It is not necessary to implement or operate the EDMS system but is an additional cost to realize the full benefits of the system in relation to meeting archival standards for permanent record.

Total Project Cost INSTRUCTIONS

1. ***Development Costs:*** Total costs over five years from ***Section III. A. Development Costs***, line 14.

2. ***Operating Costs:*** Total costs over five years from ***Section III. B. Operating Costs***, line 14.

3. ***Total Project Costs:*** *Total of Development Costs plus Operating Costs.*

C. Total Project Cost

Fiscal Year ($000)					
Description	*FY_04_*	*FY_05_*	*FY_06_*	*FY_07_*	*FY_08_*	*Total***
1. Development Costs	$38,050	$0	$0	$0	$0	$38,050
2. Operating Costs	$600	$20,600	$16,600	$600	$26,000	$64,400
3. Total Project Costs	$38,650	$20,600	$16,600	$600	$26,000	$102,450

Special Terms and Conditions INSTRUCTIONS

Describe the terms and conditions required for this project. Include all qualifying factors, time limitations, and penalties that could be assessed. If multiple, the terms and conditions should be divided by vendor name. Identify applicable existing procurement contracts to be used for this project. Indicate if the project requires a Request for Proposal (RFP).

D. Special Terms and Conditions

Explanation
RFP Description, timing Lease Purchase Agreement, interest expense, term of the lease, buy-out cost, etc.
No RFP is required as all hardware is being purchased on existing contracts and there is no cost to application software. Additional software component licenses are either purchased on contract or are well below the cost threshold requiring RFP.
There is no lease-purchase agreement associated with this project.

E. Funding

<div align="center">

Funding Source and Timeline INSTRUCTIONS

</div>

1. Funding Time Line

1. *Available Base Funding:* The planned base funds expended over five fiscal years.

2. *Additional Appropriations:* The additional funding requested from city/county/legislative appropriations.

3. *Other Funding Source:* The third party funding, other than base budget or legislative appropriations, such as Federal matching.

4. *Special Funds:* The requested amount of special funds for this type of project.

5. *Total Funding:* The sum of lines 1, 2, 3, and 4.

1. Funding Timeline

Five Year Total ($000)						
Court	*FY_04_*	*FY_05_*	*FY_06_*	*FY_07_*	*FY_08_*	*Total*
1. Available Base Funding	$40,000	$20,000	$20,000	$20,000	$20,000	$120,000
2. Additional Appropriations	0	0	0	0	0	0
3. Other Funding Source	0	0	0	0	0	0
4. Special Funds	0	0	0	0	0	0
5. Total Funding (*)	$40,000	$20,000	$20,000	$20,000	$20,000	$120,000

NOTE: Totals at the bottom of each fiscal year do not precisely match the bottom line numbers per year of the project. Money can and will be accumulated and held over in Local Document Storage and Local Court Automation Funds to cover increased need for the next year, such as FY_08 when hardware replacement is scheduled.

2. Funding Source

1-7 *Name of Funding Source:* All funding sources such as city/county General Fund, State Local Judicial Collections Enhancement Funds, Document Storage and Retrieval Funds, Federal matching funds and block grants, and any other funds that may apply to this project. Pay special attention to the columns for "Available Base" and "New Appropriations Request". If you have requested new additional appropriations, or additional spending authority, use the "New Appropriations Request" column.

8. *Funding Source Total:* The sum of items 1-7.

2. Funding Source

Available Funding Source ($000)				
Name of Funding Source	*Accumulated for this Project to date*	*Future Yearly Available*	*New Appropriations Request*	*Total Over 5 Year Span*
1. General Fund	$0	$5,000 x 4 yrs	0	$20,000
2. Local Document Storage	$18,000	$5,000 x 4 yrs	0	$38,000
3. Local Court Automation Fund	$22,000	$10,000 x 4 yrs	0	$62,000
8. Funding Source Total (*)	$40,000	$20,000 x 4 yrs	0	$120,000

NOTE: Instructions on this form said "(*) Total equals *Section III. C. Total Project Costs*." This modified format shows round funding numbers available which more than cover the estimated project costs shown in Section III C.

Section IV. Risk Assessment

INSTRUCTIONS

*For projects over $250,000 or for projects that include an exception to the Enterprise Architecture Standards (1-505) or the Court Automation Standards (1-501) complete all six categories in the following **Section IV. B. Risk Evaluation** then transfer the scores to the summary table below, and the table included in the Management Summary.*

Score

> *Questions for the six risk categories are scored with 1 point for a "Yes" answer, and zero for a "No" answer. Maximum Possible score is 37representing a "Yes" answer to all questions.*

A. Risk Summary

Category	Maximum Possible	Score	Description
1. Strategic	6	5	Aligns with Court and Statewide Enterprise Architecture, goals, objectives, policies, standards and IT strategic plan.
2. Management	6	6	Senior and intermediate management is involved in, and supports, the project. A steering committee/project team is in place.
3. Operational	5	5	Adverse effects on current operations are unlikely or contingency plans are in place. Supports Agency Performance Measures.
4. Scope and Requirements	7	6	Scope and requirements are, or will be, clearly defined and approved. Effect on business processes has been assessed.
5. Technologies Competency	7	6	Agency has available, or will secure appropriate skills to implement the project. Organizational readiness has been assessed.
6. Infrastructure Dependencies	6	5	All key elements are included to fully implement the project. No additional costs are anticipated to deliver benefits.
Total	37	33	

General Comments:

See Appendix D for a detailed risk management assessment that was done for this project.

B. *Risk Evaluation*

INSTRUCTIONS

The "Yes" answer receives a score of 1 point and any other answer receives no points and requires an explanation. The bottom box is used for the explanations.

Transfer the total score for each category to the Risk Summary.

1. Strategic

The project aligns with Court and Statewide Enterprise Architecture, goals, objectives, policies, standards and IT strategic plan.

Score 1 Rating Point for a "Yes" Answer	*Yes*	*No**
1. Does this project directly accomplish a strategic goal as outlined in an approved court IT strategic plan?	X	
2. Is there a written assessment of short-term and long-term effects the project will have on operations?		X
3. Is the project technology already in place in your court so that IT/user training is minimized?		X
4. Have you evaluated implementations of this technology in other agencies or businesses?	X	
5. Will this project accommodate business operations, without additional upgrades, for the next 3-5 years?	X	
6. Will the project meet or exceed statewide Enterprise Architecture standards?	X	

Total Rating Points	4

*Explain all "No" Responses:
#2 – Written assessment document will be written
#3 – Scanning technology is all new to the Apache County Clerk's office

2. Management

Senior and intermediate management is involved in, and supports, the project. A steering committee/project team is in place.

Score 1 Rating Point for a "Yes" Answer	*Yes*	*No**
1. Are core business activities supported by the project?	X	
2. Does this project have a senior management sponsor?	X	
3. Has a project management team with relevant experience been formed?	X	
4. Are project planning and project management practices in place?	X	
5. Are managers prepared to commit user time necessary for training?	X	
6. Has the designated Project Manager successfully implemented projects of this scope in the past?	X	

Total Rating Points	6

*Explain all "No" Responses:

3. Operational

Adverse effects on current operations are unlikely or contingency plans are in place. The project supports Court Performance Measures.

Score 1 Rating Point for a "Yes" Answer	*Yes*	*No**
1. Can technical personnel continue maintenance/support and implement the project concurrently?	*X*	
2. Has, or will a user acceptance-testing plan been devised?	*X*	
3. Has the project's effect on current operations been thoroughly assessed?	*X*	
4. Does the system affect one location only? If not, is a statewide roll-out plan in place?	*X*	
5. Has a disaster recovery or contingency plan been devised in the event of project failure or delayed implementation?		*X*

Total Rating Points	4

*Explain all "No" Responses:

#5 - There is no existing system that requires a contingency plan. A delay in implementation does not incur additional costs nor is it necessary to plan a contingency for it since it is an all new process. A backup routine has been documented and disaster recovery plans will be made once the system is in place. This system is designed to provide a disaster recovery option in case the paper files are lost or damaged.

4. Scope and Requirements

Scope and requirements are, or will be, clearly defined and approved. Effect on business processes has been assessed.

Score 1 Rating Point for each "Yes" answer	*Yes*	*No**
1. Have Management and the Project Team approved a Requirements Document?	*X*	
2. Have deliverables been clearly identified and appropriately scheduled?	*X*	
3. Have critical success factors been identified and agreed to by users and the Project Team?	*X*	
4. Is there a Change Management process in place?		*X*
5. Have "In Scope" and "Out of Scope" items been identified and agreed to by all stakeholders?	*X*	
6. Have technical personnel documented core business processes?	*X*	
7. Have all data conversion/data entry tasks been defined and time allocated in the implementation plan?	*X*	

Total Rating Points	6

*Explain all "No" Responses:

#4 – Change management process will be developed and documented in cooperation with Pima County but has not yet been done.

5. Technology Competency

Court has available, or will secure, appropriate skills to implement the project. Organizational readiness has been assessed.

Score 1 Rating Point for each "Yes" answer	*Yes*	*No**
1. Do project technical personnel possess required skills?	X	
2. Has adequate training been included for both users and technical personnel?	X	
3. Have technical personnel developed other systems using the proposed platform/language?	X	
4. Are technical personnel fully versed in core business operations?	X	
5. Do all technical personnel possess sufficient experience developing systems using the proposed technology?	X	
6. If a vendor is involved, is the vendor financially stable and well established?	X	
7. Has the assigned project team delivered projects of similar complexity on time and on budget, in the past?	X	

Total Rating Points	7

*Explain all "No" Responses:

NOTE: Pima County Clerk of the Court's office developed and implemented this system at their office. Apache County Clerk of the Court IT resource either already has the knowledge/skills or is obtaining training necessary for this application solution.

6. Infrastructure Dependencies

All key elements are included to fully implement the project. No additional costs are anticipated to deliver benefits.

Score 1 Rating Point for each "Yes" answer	*Yes*	*No**
1. Will the project deliver full functionality without future upgrades and additional development cost?	X	
2. Is all existing technology compatible with the proposed system?	X	
3. Have all environmental, electrical and security concerns been studied and addressed in the plan?	X	
4. Is key hardware/software available within the project plan constraints?	X	
5. If key services will be replaced, has the impact on users been evaluated, and have users agreed to the changes?		X
6. Have all current and future operating costs related to the project been included in the PIJ?	X	

Total Rating Points	5

* Explain all "No" Responses:

#5 Not Applicable because we are not replacing an existing technology system.

Section V. Project Approvals

The appropriate signatures must be obtained.

A. CIO Review

Key Management Information	Yes	No
1. Is this project for a mission critical application system?	X	
2. Is this project referenced in your court's Strategic IT plan?	X	
3. Is this project consistent with the local court's and Supreme Court's policies, standards and guidelines?	X	
4. Is this project in compliance with the Arizona Revised Statutes, Court Rules and the Arizona Code of Judicial Administration?	X	
5. Is this project in compliance with the statewide policy regarding the Accessibility to Equipment and Information Technology for Citizens with Disabilities?	X	

B. Project Approvals

The PIJ must be transmitted to COT staff by email. Project approvals may be sent by mail or FAX. Include the Project Title for identification.

Project Title: Apache County Clerk of the Court Electronic Document Management System

Responsibility	Approval Signature and Title	Date
Lillith Avalon Project Manager*:*		
Sue Hall, Clerk of the Court Court Department Head*:*		
Sue Hall, Clerk of the Court Project Sponsor		
Judge Donna J. Gimsley Presiding Judge		

Appendices

A. Itemized List with Costs

Attach a detailed list of expenditures including unit costs and extensions. Ensure the total agrees with the TOTAL column on pages labeled "A. Development Costs" and "B. Operating Costs." This list should contain all items associated with the total project investment, including hardware purchase costs, software purchase costs, software licensing costs, FTE and ERE costs, professional and outside services costs, consulting costs, communication costs, facilities costs such as cabling or wiring, training costs, travel costs, and all other costs.

Development Costs: Detail Supporting Sec III A	Total	Detail
Hardware	$24,650	*Rounded*
EDMS Database Server		$3,600
EDMS Web Server		$3,100
Image storage		$3,600
Scanning Stations (2)		$4,200
Scanners w/ endorsers (2)		$6,800
Tape Backup System		$3,000
DVD Burner		$ 350
Communications	$3,300	
County Network wires & switch		$3,300
Software Licensing (one time each)	$7,100	
ImageXpress Professional		$1,000
SmartScan Xpress Barcode Basic		$ 600
Web server operating system		$ 320
Database server operating system & user licenses		$ 684
SQL Server licenses		$3,100
Backup System software (BrightStor Arcserve)		$1,400
Other (Training / Maintenance & Supplies)	$3,000	
IT Resource SQL Server training		$1,300
Reference books & materials		$ 500
User training materials (photocopying etc.)		$ 200
Backup Tapes		$1,000
Total	**$38,050**	

Operating Costs: Detail Supporting Section III B	Total	Detail
User FTE	$30,000	*Estimates*
Employee to do back scanning (2 years x $15,000)		$30,000
Hardware	$20,400	
Replace 5 year old EDMS Database Server		$3,000
Replace 5 year old EDMS Web Server		$3,000
Additional Image storage		$3,000
Replace 5 year old Scanning Stations (2)		$4,000
Replace 5 year old Scanners w/ endorsers (2)		$7,000
Replace 5 year old DVD Burner		$ 400
Software Licensing	$4,000	
Web server operating system		$ 300
Database server operating system & user licenses		$ 700
Update version of SQL Server		$3,000
Communications	$5,000	
Firewall for Servers		$4,000
Web Server Logging (security measure)		$1,000
Other (Training / Maintenance & Supplies)	$5,000	
DVD media for image backups ($100 per yr x 5 yr)		$ 500
Backup Tapes (2 complete replacement sets over 5 yrs)		$2,000
Scanner belts & ink ($500 per year x 5 yr)		$2,500
Total	**$64,400**	

B. Connectivity Diagram

Attach a high-level schematic drawing, indicating major hardware components. If your project is an expansion of existing facilities, clearly indicate existing and new components. A hand-drafted drawing is acceptable.

Clerk of the Court - EDMS Connectivity

Thursday, April 15, 2004

Outside Courthouse

Court Officer Computers

This type of connection can serve any computer not on the County Network including attorneys, court partners, etc.

Internet Connection granted by IP Address Security

Courthouse

Clerk Computers on AOC Network

Scanner

Scanning Station 2

Scanning Station 1

Scanner

Public Access Workstation

Clerk Computers on County Network

County Annex Server Closet

Firewall

Courthouse Closet

External Tape Drive Backup

24 port Switch

Online Data

County Network 24 port Switch

Cable

External DVD Burner

Web Server

Database Server

Offline Data

C. Gantt Chart, Project Management Timeline

Include a computer-generated Gantt Chart or a textual list of major project phases and milestones. Include the estimated time of completion for each milestone, and the total elapsed time for the entire project. Do not include a detailed list. If a vendor is involved, insure the plan is consistent with the vendor's proposed schedule. This Gantt Chart will be used as the basis for project oversight.

A formal project plan exists for this project but needs to be refreshed. We are under a substantial deadline pressure to submit this document for review and so we will be happy to provide the formal project plan upon request as additional documentation at a later date.

D. Risk Management Detail

This is a copy of the results of the risk management review conducted by the Apache County Clerk's office during the "design" phase of this project.

Apache County Clerk's Implementation of Pima County EDMS   (Risk Assumption Level: 20)

RISK	LIKELY	IMPACT	RATING	PLAN	COMMENT
Key personnel may require additional training in order to support and use new software platform.	9	8	72	Technical class for Lillith - database & front end - LILLITH Training period in Pima County - LILLITH Purchase reference books - LILLITH Investigate resources available in data processing, identify backup experts who can advise - LILLITH	
A virus on the county system might corrupt data or make it unavailable	7	10	70	Get recommendations from Data Processing Department Financial support for solutions recommended by DP - SUE Rigorous backup plan - Lillith / Shirley	Security logging Additional firewall for Clerk behind County Intrusion Detection device
Ongoing technical support at county level may not be available for hardware.	7	9	63	Clerks office finance another technician - SUE Budget FY05 for additional resources - SUE Lobby with County Mngr to add staff - SUE	
State may not approve EDMS solution we have selected.	5	10	50	Talk to presiding Judge to gain support - SUE Follow through process with COT - ALL 3 Talk to Dave Byers - SUE Enlist support of other County Clerks - SUE	
Funding might not be available for the EDMS system.	5	10	50	Budget for needs - SUE/JANA Grant applications to COT - JANA List all potential funding sources & amount available in them - SUE/JANA Gain support from Judge to sign-off on JCEF money - SUE Seek partner to share system cost with - JANA Create good cost esimate for system including all hw, sw, training, etc. - LILLITH	

RISK	LIKELY	IMPACT	RATING	PLAN	COMMENT
Incorporating new processes may resulting in inefficient functioning in the Clerks office.	6	8	48	Set up training database & room Provide reference sheets / summary training materials - LILLITH Identify power-users and reallocate duties amongst clerks appropriately - JANA	
Ongoing technical administrative expertise in Clerk's office may not be available for software.	5	9	45	Acquire or develop technical and user documentation Raise pay rate of technical expert Identify and train backup administrator	Risk goes up over time
Ongoing support and updates may not be available from Pima County resources.	5	6	30	Get an IGA - JANA Communicate regular and friendly with Pima Ongoing training for Apache County resources Create exchange - what can we offer back to Pima? (docs, modules, testing)	
Presiding Judge may not consent to expenditure of JCEF funds for new CMS system.	5	5	25	Negotiate with Judge Document advantages and reasons for new system	
Presiding Judge may want to absorb the decision making and dictate how records are kept and what system is used.	5	5	25	ARS 12-283 Negotiate with Judge Document advantages and reasons for new system	
Project may cost more to implement than estimated.	8	3	24	Create good cost esimate for system including all hw, sw, training, etc. - LILLITH	Update: To date hardware prices have been lower than original budget so we are doing well.
New system may not meet ALL functional requirements of Apache County Clerk.	4	6	24	Test prototype for functional points - LILLITH Document gaps - LILLITH Work with Pima County for ongoing development - ALL 3 Be able to develop our own additonal functionality if needed - LILLITH	

RISK	LIKELY	IMPACT	RATING	PLAN	COMMENT
Clerks will not be sufficiently trained to smoothly move to use of the new system.	3	7	21	Obtain training from Pima County Set up training database Develop in-house training Train in-time rather than too early	
ASSUMPTION LEVEL: 20 and under					
Courthouse building is damaged in such a way that records become unusable	2	10	20		
Pima County might migrate to some other EDMS system leaving Apache County unsupported.	2	8	16		
Physical space may not be available to install needed hardware. (servers / scanning stations)	5	3	15	Verify space allocation with Judge Clerk may move into current Justice Court space which will leave plenty of room	Judge has agree to allow use of space selected for scanning stations.
JCEF funding monies might not be approved by the supreme court to implement new EDMS system.	5	2	10		
Changes in personal in Pima county might result in lack of cooperation and support.	2	5	10		3-year horizon risk goes up after that

Glossary

If special terminology and acronyms are used, consider including a glossary of terms.

Document Information

Title:	Project Investment Justification Version 4.0
Originator:	Arizona Supreme Court
Date:	April, 2004
Download:	http://www.supreme.state.az.us/cot/Documents/Documents_default.htm
Contact:	Maureen Haggerty, COT Staff, 602-542-9346, email mhaggerty@supreme.sp.state.az.us